



2615

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/921,044

Filing Date August 2, 2001

First Named Inventor OSTROVER, Lewis S.

Group Art Unit 2615

Examiner Name TO BE ASSIGNED

Attorney Docket Number 3053-040

Total Number of Pages in This Submission 50

RECEIVED

JAN 07 2003

## ENCLOSURES (check all that apply)

Technology Center 2600

- ☐ Fee Transmittal Form  
☐ Fee Attached  
☐ Amendment / Reply  
☐ After Final  
☐ Affidavits/declaration(s)  
☐ Extension of Time Request  
☐ Express Abandonment Request  
☒ Information Disclosure Statement  
☐ Certified Copy of Priority Document(s)  
☐ Response to Missing Parts/ Incomplete Application  
☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)  
☐ Drawing(s)  
☐ Licensing-related Papers  
☐ Petition  
☐ Petition to Convert to a Provisional Application  
☐ Power of Attorney, Revocation Change of Correspondence Address  
☐ Terminal Disclaimer  
☐ Request for Refund  
☐ CID, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group  
☐ Appeal Communication to Board of Appeals and Interferences  
☐ Appeal Communication to Group (Appeal, Notice, Brief, Reply Brief)  
☐ Proprietary Information  
☒ Status Letter  
☒ Other Enclosure(s) (please identify below):

Return Receipt Postcard

Remarks



22440

PATENT TRADEMARK OFFICE

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

WEISZ, Tiberius Reg. No. 29,876

Signature

Date

December 31, 2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: December 31, 2002

Typed or printed name

HUNTER, Belinda J.

Signature

Date December 31, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Attorney Docket No.: 3053-040

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

First-Named Inventor : OSTROVER, Lewis S.

Serial No. : 09/921,044

Filing Date : August 2, 2001

Title : APPARATUS FOR GENERATING CONTENT CODES  
FOR AUDIOVISUAL PROGRAMS

Examiner : To Be Assigned

Group Art Unit : 2615

**RECEIVED**

**JAN 07 2003**

**Technology Center 2600**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING UNDER 37 CFR § 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service via First Class mail service in a post-paid envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on 12/31/02.

*Belinda J. Hunter*  
HUNTER, Belinda J.

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §§1.56, 1.97 AND 1.98**

S I R :

Pursuant to the duty of disclosure under 37 CFR §§1.56, 1.97. and 1.98, applicant submits herewith an *Information Disclosure Statement* along with (5) cited references listed on Form PTO-1449.

**References AA-AC and AU** are cited in the *International Search Report* dated December 17, 2002 issued by the Patent Cooperation Treaty organization in counterpart International Patent Application No. PCT/US02/23701. **References AA and AU** are each indicated in this report as applicable to both categories X and Y, meaning that these references

are found to have particular relevance to novelty and inventiveness compared to certain claims of the present invention. **Reference AB** is indicated in this report as applicable to category X, meaning that this reference is of particular relevance in that the present invention is not considered as novel or involving an inventive step when the reference is taken alone.

**Reference AC** is indicated in this report as applicable to category Y, meaning that this reference is of particular relevance in that the present invention is considered not to involve an inventive step when the reference is combined with one or more other such documents whereas such a combination would be obvious to a person skilled in the art. A true copy of the report from the files of the undersigned attorney of record is also enclosed herewith in accordance with MPEP §2001.06(a) since the afore-mentioned international patent application claims priority to the present US application, and is indicated as **Reference BA** on the enclosed *List of Cited References*.

Inasmuch as the present application has not yet received a first Office Action on the merits in accordance with 37 CFR §1.97(b)(3) and the disclosures enclosed herewith have been cited in a foreign counterpart application not three months prior to the filing date of this paper in accordance with 37 CFR §1.97(e), this information is believed to be timely filed. Accordingly, consideration of the enclosed references and entry into the record are respectfully requested.

It is believed that no fee for filing this *Information Disclosure Statement* is now due. If it is determined that any fee is required, the Commissioner is hereby authorized to charge any such fee to Deposit Account No. 07-1730. A duplicate of this sheet is enclosed herewith.

Dated: December 31, 2002  
New York, New York

Respectfully submitted,

GOTTLIEB RACKMAN & REISMAN PC  
Attorneys for Applicant  
270 Madison Avenue  
New York, New York 10016-0601  
Telephone: 212/684-3900  
Telefax: 212/684-3999

By: 

WEISZ, Tiberiu  
Reg. No. 29,876

S:\belinda\applicidssuppl\warner\305340.wpd

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Substitute for form 1449B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>			
		Application Number	09/921.044		
		Filing Date	August 2, 2001		
		First Named Inventor	OSTROVER, Lewis S		
		Group Art Unit	2615		
		Examiner Name	To Be Assigned		
Sheet	2	of	2	Attorney Docket Number	3053-040

<b>OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	BA	International Search Report dated December 17, 2002; PCT/US02/23714 filed July 25, 2002; entitled APPARATUS FOR GENERATING CONTENT CODES FOR AUDIOVISUAL PROGRAMS; inventor OSTROVER, Lewis S.	
	BB		
	BC		
	BD		
	BE		
	BF		
	BG		
	BH		
	BI		
	BJ		

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.